

Form PTO 1449 (Modified)	U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE	DOCKET NO.  9575-001-23	SERIAL NO.  09/931,404
LIST OF REFERENCES CITED BY APPLICANT (Use Several Sheets if Necessary)		APPLICANT  Robert J. BURNS <i>et al.</i>	
		FILING DATE  August 17, 2001	GROUP ART UNIT  2161

U.S. PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILING DATE IF APPROPRIATE
	AA					
	AB					
	AC					
	AD					
	AE					
	AF					
	AG					
	AH					
	AI					
	AJ					

FOREIGN PATENT DOCUMENTS

DOCUMENT NUMBER	DATE	COUNTRY	TRANSLATION YES      NO	
	AL			
	AM			
	AN			
	AO			
	AP			

OTHER REFERENCES (Including Author, Title, Date, Pertinent Pages, Etc.)

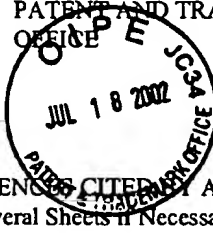
FHA	AQ1	Frank E. Nothaft <i>et al.</i> , <i>The Failure of the Mortgage-Backed Contract</i> , The Journal of Futures Markets, Aug. 1995, pp. 585-603.
JHA	AR1	Gregory Koutmos <i>et al.</i> , <i>Hedging GNMA Mortgage-Backed Securities with T-note Futures: Dynamic Versus Static Hedging</i> , Real Estate Economics, June 22, 1999, p. 335.
TJA	AS1	Elizabeth Tashjian, <i>Optimal Futures Contract Design: Futures Markets in the 21<sup>st</sup> Century</i> , 35 Quarterly Review of Economics and Finance 153 (June 22, 1995).
JHA	AT1	John Morris, "Ginnie Mae II" May Solve Pandora's Box Woes, The American Banker, Oct. 18, 1983, p. 13.

EXAMINER <i>T. H. Burns</i>	DATE CONSIDERED <i>9/18/01</i>
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			FILING DATE August 17, 2001	GROUP ART UNIT 2161
TH	AQ2	Ben Weberman, <i>The Pioneer Instrument of Interest Rate Futures Is Dying: Is There a Way to Profit from its Death Throes?</i> , Forbes, Feb. 11, 1985, p.186.		
TH	AR2	Commodity Futures Trading Commission, Notice of Proposed Contract Market Rule Change, 47 Fed. Reg. 11308 (March 16, 1982).		
TH	AS2	Commodities Futures Trading Commission, Chicago Board of Trade; Proposed Amendments Relating to the Government National Mortgage association Certificate Delivery Futures Contract, 48 Fed. Reg. 46833 (October 14, 1983).		
TH	AT2	Commodity Futures Trading Commission, Notice of Availability of the Terms and Conditions of Proposed Commodity Futures Contract, 48 Fed. Reg. 33029 (July 20, 1983).		
TH	AQ3	Commodities Futures Trading Commission, Chicago Board of Trade; Proposed Amendments Relating to the Government National Mortgage Association-II Futures Contract, 50 Fed. Reg. 34734 (August 27, 1985).		
TH	AR3	Commodity Futures Trading Commission, Proposed Amendments Relating to GNMA Futures Contract and a Proposal to Recommence Trading in That Contract, 52 Fed. Reg. 48559 (December 23, 1987).		
TH	AS3	Commodity Futures Trading Commission, Notice of Availability of the Terms and Conditions of Proposed Commodity Option Contract, 52 Fed. Reg. 48861 (December 28, 1987).		
TH	AT3	Securities and Exchange Commission, Proposed Rulemaking, 52 Fed. Reg. 6340 (March 3, 1987).		
TH	AQ4	Commodity Futures Trading Commission, Publication of and Request for Comment on Proposed Rules Having Major Economic Significance; Amendment to the GNMA-CD Futures Contract of the Chicago Board of Trade, 45 Fed. Reg. 66493 (October 7, 1980).		
TH	AR4	Securities and Exchange Commission, Self-Regulatory Organization, Proposed Rule Changes, 46 Fed. Reg. 19125 (March 27, 1981).		
TH	AS4	Securities and Exchange Commission, Chicago Board Options Exchange, Inc.; Order Approving Amended Proposed Rule Change, 46 Fed. Reg. 15242 (March 4, 1981).		
TH	AT4	Securities and Exchange Commission, Government National Mortgage Association Options Proposal, 45 Fed. Reg. 51016 (July 31, 1980).		
TH	AQ5	Securities and Exchange Commission, Chicago Board Options Exchange, Inc.; Order Approving Proposed Rule Change Relating to Deletion of Rules Concerning GNMA and Foreign Currency Options, 53 Fed. Reg. 35144 (September 9, 1988).		
TH	AR5	Commodity Futures Trading Commission, Publication of and Request for Comment on Proposed Rules Having Major Economic Significance; Amendments to the GNMA-CD Futures Contract of the Chicago Board of Trade; Correction, 45 Fed. Reg. 70961 (October 27, 1980).		
TH	AS5	David Kiley, <i>New GNMA Futures</i> , National Mortgage News, April 28, 1986, p. 1.		
TH	AT5	Deborah Hargreaves, <i>The Financial Times Limited (London): CBOT to Launch Mortgage Contract</i> , 246 (June 15, 1989).		
TH	AQ6	National Mortgage News: Risk Management (February 3, 1986).		
TH	AR6	John Morris, <i>The Bond Buyer: Chicago Board of Trade Launches Ginnie Mae II Futures Program</i> , 262 (March 23, 1984).		
TH	AS6	Commodities Futures Trading Commission, Proposed Contract Market Designation for New York Futures Exchange's GNMA Contract Application, 46 Fed. Reg. 46276 (September 17, 1981).		

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<i>JH</i>	AT6	Securities and Exchange Commission, Chicago Board Options Exchange Inc., and Options Clearing Corp.; Filing and Order Approving Rule Changes, 47 Fed. Reg. 46934 (October 21, 1982).			
<i>JH</i>	AQ7	Securities and Exchange Commission, Options Clearing Corporation ("OCC"); Order Approving Proposed Rule Change, 47 Fed. Reg. 46941 (October 21, 1982).			
<i>JH</i>	AR7	Securities and Exchange Commission, Sears Government Investment Trust, <i>et al.</i> , Filing of Application for an Order of Exemption, 48 Fed. Reg. 24511 (June 1, 1983).			
<i>JH</i>	AT7	Securities and Exchange Commission, Options Clearing Corp. ("OCC"); Order Approving Proposed Rule Change, 46 Fed. Reg. 40849 (August 12, 1981).			
<i>JH</i>	AQ8	Securities and Exchange Commission, Chicago Board Options Exchange, Inc.; Filing of Proposed Rule Change, 46 Fed. Reg. 2439 (January 9, 1981).			
<i>JH</i>	AR8	Securities and Exchange Commission, Self-Regulatory Organizations; Proposed Rule Change; Relating to Trading of GNMA Options, 46 Fed. Reg. 15242 (March 4, 1981).			
<i>JH</i>	AS8	Arjun Chatrath <i>et al.</i> , <i>Futures Commitments and Commodity Price Jumps</i> , The Financial Review, Aug. 1, 1999, p. 95.			
<i>JH</i>	AT8	CBOT is Considering New Try at MBS Futures and Options, The Mortgage Marketplace, April 6, 1992, p.1.			
<i>JH</i>	AQ9	David C. Ling, <i>Mortgage-backed Futures and Options</i> , 21 Journal of the American Real Estate and Urban Economics Association 47-67 (Spring 1993).			
<i>JH</i>	AS9	Nomura Writes MTGE Options Contracts, Bondweek, Oct. 8, 1990, p.4.			
EXAMINER <i>JH/Kearney</i>			DATE CONSIDERED <i>9/18/06</i>		
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Form PTO 1449 (Modified) U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE <div style="text-align: center;">  </div>		DOCKET NO. 9575-001-23		SERIAL NO. 09/931,404			
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TH	AQ	Chicago Board of Trade, "Charter, Bylaws, Rules and Regulations of the Chicago Board of Trade," Chapters 17 and 20 (June 1983).					
TH	AR	Bloomberg L.P., "Three Cheers for the Pioneer: One of Wall Street's Old Friends is About to Retire", Bloomberg News, September 7, 1999.					
	AS						
	AT						
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TH				9/18/01			
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